This document includes instructions for a Partially Exempt Mortgage Company (principal/headquarter location) Registration new application request. If you need to complete a new application for a branch location (authorized delegates are not considered a branch in NMLS) or individual; refer to the appropriate new application checklists.

There is no state registration fee associated with using NMLS for this registration

Total Registration cost: $100 including the NMLS processing fee. Fees collected through the NMLS ARE NOT REFUNDABLE.

Use the checklist below to complete the requirements for Pennsylvania Department of Banking and Securities.

The checklist provides instructions and requirements for information to be entered in NMLS, the documents that must be uploaded into NMLS, as well as the documents that must be sent outside NMLS.

For help with the NMLS application, see the Quick Guide for submitting a complete Company Form filing through NMLS.

Agency specific requirements marked **Filed in NMLS** must be completed and/or uploaded in NMLS; this information will not be viewable to the agency until the application has been submitted through NMLS.

For help with document uploads, see the Quick Guide for document upload in NMLS

**Note:** Financial statements are uploaded separately under the Filing tab, “Financial Statement” sub-menu. All other documents are uploaded in the Filing tab under the “Document Upload” section of the company form.

Agency specific requirements marked **attached** on the checklist below must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

Contact Pennsylvania Department of Banking and Securities, Non-Depository Licensing Office staff by phone at 717-787-3717 or send your questions via email to ra-asklicensing@pa.gov for additional assistance.

The completed checklist and the documents that are required to be submitted outside of NMLS must be received within 5 business days of the electronic submission of your application through NMLS via email to ra-AskLicensing@pa.gov
**NMLS Company Unique ID Number:** ________________

**Applicant Legal Name:** ______________________________________

### PENNSYLVANIA PARTIALLY EXEMPT MORTGAGE COMPANY REGISTRATION

<table>
<thead>
<tr>
<th>FILED IN NMLS</th>
<th>ATTACHED</th>
<th>NOT APPLICABLE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

**Other Trade Name:** DBA’s should be listed under Other Trade Names on the NMLS Company Form.

Provide a certified copy of your proof of Registration of all trade names, with the Pennsylvania Department of State, Corporations Bureau.

Questions: Contact the PA Department of State @ (888)659-9962 or (717)787-1057

**Designated Pennsylvania Agent (for out of state applicants only):**
Submit a “Service of Process Consent” form designating an authorized Pennsylvania agent for service of process.
[Click to download Service of Process form.](#)

**Qualifying Individual:** An individual identified by the company on the NMLS Company Form as the “Qualified Individual” and who:

- Is a mortgage originator or meets the licensing requirements of a mortgage originator; and
- Is a management-level officer assigned to the company’s principal place of business.

This individual must be listed as the “Qualifying Individual” on NMLS Company Form, and his/her business address must match the address listed as the “Main Address” on the Company Form.

**Disclosure Questions:** Provide complete details of all events or proceedings for any “Yes” answer to any of the disclosure questions for the company or any control person (including the qualifying individual).
Upload a copy of any applicable orders or supporting documents (such as respective criminal or civil court documents, administrative orders, and/or related public documents) in NMLS.

**Financial Statements:** Upload the previous fiscal year financial statement (audited or unaudited if certified by executive officer).

- All financial statements must be prepared in accordance with Generally Accepted Accounting Principles and dated within 90 days of your fiscal year end.
- Financial statements should include a Balance Sheet, Income Statement and Statement of Cash Flows and all relevant notes thereto.
- If applicant is a start-up company, only an initial Statement of Condition is required.
**Business Plan:** Upload a business plan outlining marketing strategy, products, target markets and operating structure the applicant intends to employ.

**Formation Document:** Upload a certified copy of:
- Registration of the full legal with the Pennsylvania Department of State, Corporations Bureau;
- The Corporate Charter or Articles of Incorporation (if a corporation) or
- The Articles of Organization and Operating Agreement (if a Limited Liability Company) or
- The Partnership Agreement (if a partnership of any form).

**Organizational Chart/Description:** Upload an organizational chart if applicant is owned by another entity or entities or person(s), or has subsidiaries or affiliated entities.

**Bond:** Upload and mail an original bond in the appropriate amount (see below) furnished by a surety company authorized to conduct business in the Commonwealth of Pennsylvania. The name of the principal insured on the bond must match exactly the Full Legal Business Name of applicant.

<table>
<thead>
<tr>
<th>Amount</th>
<th>Anticipated or Actual Amount of PA Mortgage Loan Originations</th>
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<tbody>
<tr>
<td>$100,000</td>
<td>$29,999.999.99 or less</td>
</tr>
<tr>
<td>$200,000</td>
<td>$30,000,000 - $99,999,999.99</td>
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<tr>
<td>$300,000</td>
<td>$100,000,000 – $249,999,999.99</td>
</tr>
<tr>
<td>$500,000</td>
<td>$250,000,000 or more</td>
</tr>
</tbody>
</table>

[Click to download bond form.](#)

**Books and Records Location:** An address listed for books and records to a location other than the principal place of business (address of business headquarters on the NMLS Company Form), when approved by the department through NMLS, is deemed an approved alternate site record keeping location for purposes of the Mortgage Act.

The regulator will review the filing and all required documents and communicate with you through NMLS. To review your status or see detailed communication from the regulator, click on the Composite View tab and then click on View License/Registration in NMLS see ([License Status Quick Guide](#)) for instruction.

**WHO TO CONTACT** – Contact the PA Department of Banking and Securities, Non-Depository licensing staff by phone at (717)787-3717 or send your questions via e-mail to [ra-asklicensing@pa.gov](mailto:ra-asklicensing@pa.gov), for additional assistance.

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THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.